### Edgar Filing: ALEXION PHARMACEUTICALS INC - Form 3

ALEXION PHARMACEUTICALS INC Form 3 June 09, 2017 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

# **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

#### **OMB APPROVAL**

OMB 3235-0104 Number: January 31, Expires: 2005 Estimated average burden hours per response... 0.5

(Print or Type Responses)

| 1. Name and Address of Reporting<br>Person <u>*</u><br>Franchini Indrani Lall |         |          | <ul><li>2. Date of Event Requiring</li><li>Statement</li><li>(Month/Day/Year)</li></ul> | 3. Issuer Name and Ticker or Trading Symbol<br>ALEXION PHARMACEUTICALS INC [ALXN] |  |  |  |
|---|---------|----------|---|---|--|--|--|
| (Last)  | (First) | (Middle) | 06/05/2017  | 4. Relationship of Reporting Person(s) to Issuer                                  | 5. If Amendment, Date Original Filed(Month/Day/Year) |  |  |

# C/O ALEXION PHARMACEUTICALS, INC., 100 COLLEGE STREET

(Street)

# NEW HAVEN, CTÂ 06510

| (City) | (State) | (Zip) |
|--------|---------|-------|
|        |         |       |

1. Title of Security (Instr. 4)

# Table I - Non-Derivative Securities Beneficially Owned

Ownership

Direct (D) or Indirect (I) (Instr. 5)

Form:

(Check all applicable)

(give title below) (specify below)

EVP, Chief Compliance Officer

3.

Director

\_X\_ Officer

10% Owner

Other

2. Amount of Securities Beneficially Owned (Instr. 4)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Reporting Person

Person

6. Individual or Joint/Group

Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting

\_ Form filed by More than One

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

#### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                        | 4.<br>Conversion<br>or Exercise<br>Price of | 5.<br>Ownership<br>Form of<br>Derivative | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|---|--|--------------------|--|------------------------|---|--|---|
|   | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount or<br>Number of | Derivative Security:<br>Security Direct (D) |  |   |

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| Shares | or Indirect |
|--------|-------------|
|        | (I)         |
|        | (Instr. 5)  |

# **Reporting Owners**

| Reporting Owner Name / Address   |   | Relationships |                               |       |  |  |
|--|---|---------------|-------------------------------|-------|--|--|
|  |   | 10% Owner     | Officer                       | Other |  |  |
| Franchini Indrani Lall<br>C/O ALEXION PHARMACEUTICALS, INC.<br>100 COLLEGE STREET<br>NEW HAVEN, CT 06510 | Â | Â             | EVP, Chief Compliance Officer | Â     |  |  |
| Signatures   |   |               |                               |       |  |  |
| Michael V. Greco, Attorney-in-Fact for Indrani L<br>Franchini  |   | 06/0          | 09/2017                       |       |  |  |
| **Signature of Reporting Person  |   |               | Date                          |       |  |  |
| Explanation of Responses:  | : |               |                               |       |  |  |
| N  |   |               |                               |       |  |  |

## No securities are beneficially owned

\* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.